

#3

Statement Claiming Small Entity Status
(37 C.F.R. §§ 1.9(d) and 1.27(c)) -- Small Business Concern



Applicant, Patentee or Identifier: Hohmann et al.

Appl. or Patent No.: 09/545,608

Attorney Docket No. 1531.0300001

Filed or Issued: April 7, 2000

Title: An Intellectual Asset Protocol for Defining Data Exchange Rules and Formats for Universal Intellectual Asset Documents, and Systems, Methods, and Computer Program Products Related to Same

I hereby state that I am

- ☒ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Aurigin Systems, Inc.

ADDRESS OF SMALL BUSINESS CONCERN 10710 North Tantau Avenue, Cupertino, California 95014-0717

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements indicating their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention (other than the small business concern named above) is listed below:

- ☒ no such person, concern, or organization exists.
☐ each person, concern, or organization is listed below.

NAME _____

ADDRESS _____

() INDIVIDUAL

() SMALL BUSINESS CONCERN

() NONPROFIT ORGANIZATION

Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING

IRVING S. RAPAPORT

TITLE OF PERSON IF OTHER THAN OWNER

VICE PRESIDENT INTELLECTUAL PROPERTY

ADDRESS OF PERSON SIGNING

10710 NORTH TANTAU AVE. CUPERTINO, CA 95014-0717

SIGNATURE

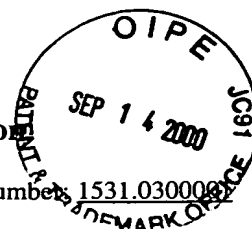
[Signature]

DATE

7/26/2000

Combined Declaration and Power of Attorney for Patent Application

Docket Number: 1531.030000



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled **An Intellectual Asset Protocol for Defining Data Exchange Rules and Formats for Universal Intellectual Asset Documents, and Systems, Methods, and Computer Program Products Related to Same**, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on April 7, 2000;
as United States Application Number or PCT International Application Number 09/545,608; and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

☐ Yes ☐ No

(Application No.) (Country) (Day/Month/Year Filed)

☐ Yes ☐ No

(Application No.) (Country) (Day/Month/Year Filed)

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/128,405 April 8, 1999
(Application No.) (Filing Date)

(Application No.) (Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

(Application No.) (Filing Date) (Status - patented, pending, abandoned)

(Application No.) (Filing Date) (Status - patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Robert G. Sterne, Esq., Reg. No. 28,912; Edward J. Kessler, Esq., Reg. No. 25,688; Jorge A. Goldstein, Esq., Reg. No. 29,021; Samuel L. Fox, Esq., Reg. No. 30,353; David K.S. Cornwell, Esq., Reg. No. 31,944; Robert W. Esmond, Esq., Reg. No. 32,893; Tracy-Gene G. Durkin, Esq., Reg. No. 32,831; Michele A. Cimbala, Esq., Reg. No. 33,851; Michael B. Ray, Esq., Reg. No. 33,997; Robert E. Sokohl, Esq., Reg. No. 36,013; Eric K. Steffe, Esq., Reg. No. 36,688; Michael Q. Lee, Esq., Reg. No. 35,239; Steven R. Ludwig, Esq., Reg. No. 36,203; Raz E. Fleshner, Esq., Reg. No. 34,331; John M. Covert, Esq., Reg. No. 38,759; and Linda E. Alcorn, Esq., Reg. No. 39,588.

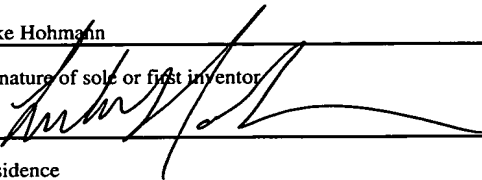
Send Correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934

Direct Telephone Calls to:

(202) 371-2600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor
Luke Hohmann
Signature of sole or first inventor

Date
7/31/00
Residence
Mountain View, California
Citizenship
U.S.A.
Post Office Address
306 Windmill Park Lane
Mountain View, California 94043

Full name of second inventor

Irving S. Rappaport

Signature of second inventor

Irving S. Rappaport

Date

7/26/2000

Residence

Palo Alto, California

Citizenship

U.S.A.

Post Office Address

1500 Edgewood Drive

Palo Alto, California 94303

Full name of third inventor

Matthew Schnitz

Signature of third inventor

Matthew A. Schnitz

Date

8/1/2000

PLE

Residence

~~Mountain View, California~~

Pasadena, California

Citizenship

U.S.A.

Post Office Address

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440 S. Euclid Ave.

Mountain View, California 94043

Pasadena CA 91101

Full name of fourth inventor

Brent Rosenquist

Signature of fourth inventor

Date

PLE

Residence

Sunnyvale, California

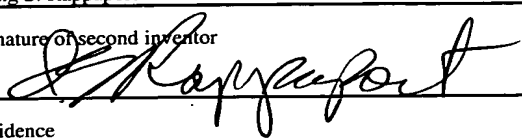
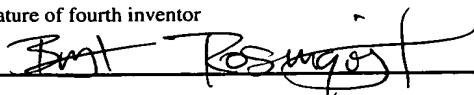
Citizenship

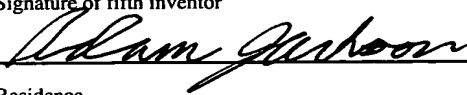
U.S.A.

Post Office Address

1668 Kennard Way

Sunnyvale, California 94087

Full name of second inventor	
Irving S. Rappaport	
Signature of second inventor	Date
	7/26/2000
Residence	
Palo Alto, California	
Citizenship	
U.S.A.	
Post Office Address	
1500 Edgewood Drive	
Palo Alto, California 94303	
Full name of third inventor	
Matthew Schnitz	
Signature of third inventor	Date
Residence	
Mountain View, California	
Citizenship	
U.S.A.	
Post Office Address	
2558 Mardell Way	
Mountain View, California 94043	
Full name of fourth inventor	
Brent Rosenquist	
Signature of fourth inventor	Date
	7/31/00
Residence	
Sunnyvale, California	
Citizenship	
U.S.A.	
Post Office Address	
1668 Kennard Way	
Sunnyvale, California 94087	
707 Continental Cr #2116	
Mountain View CA 94040	

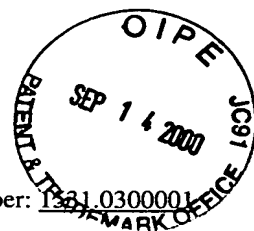
Full name of fifth inventor	
Adam Jackson	
Signature of fifth inventor	Date
	7/31/00
Residence	
Sunnyvale, California	
Citizenship	
U.S.A.	
Post Office Address	
1063 Morse Avenue, #7-107	
Sunnyvale, California 94089	

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SXGP Rev. 12/2999 doc

(Supply similar information and signature for subsequent joint inventors, if any)

Combined Declaration and Power of Attorney for Patent Application

Docket Number: 1381.0300001



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled **An Intellectual Asset Protocol for Defining Data Exchange Rules and Formats for Universal Intellectual Asset Documents, and Systems, Methods, and Computer Program Products Related to Same**, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on April 7, 2000;
as United States Application Number or PCT International Application Number 09/545,608; and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

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Prior Foreign Application(s)

Priority Claimed

(Application No.)

(Country)

(Day/Month/Year Filed)

☐ Yes ☐ No

(Application No.)

(Country)

(Day/Month/Year Filed)

☐ Yes ☐ No

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/128,405
(Application No.)

April 8, 1999
(Filing Date)

(Application No.)

(Filing Date)

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(Application No.)

(Filing Date)

(Status - patented, pending, abandoned)

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(Status - patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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Full name of sole or first inventor	
Luke Hohmann	
Signature of sole or first inventor	Date
Residence	
Mountain View, California	
Citizenship	
U.S.A.	
Post Office Address	
306 Windmill Park Lane	
Mountain View, California 94043	



Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: Hohmann et al.

Application No./Patent No.: 09/545,608 Filed/Issue Date: April 7, 2000

Entitled: **An Intellectual Asset Protocol for Defining Data Exchange Rules and Formats for Universal Intellectual Asset Documents, and Systems, Methods, and Computer Program Products Related to Same**

Aurigin Systems, Inc., a corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 7/26/2000

Name: IRVING S. RAPPAPORT

Title: VICE PRESIDENT, INTELLECTUAL PROPERTY

Signature: [Signature]

Full name of fifth inventor Adam Jackson	
Signature of fifth inventor	Date
Residence Sunnyvale, California	
Citizenship U.S.A.	
Post Office Address 1063 Morse Avenue, #7-107	
Sunnyvale, California 94089	

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(Supply similar information and signature for subsequent joint inventors, if any)

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): (1) Luke Hohmann, (2) Irving S. Rappaport, (3) Matthew Schnitz, (4) Brent Rosenquist and (5) Adam Jackson, the undersigned inventor(s) hereby sell(s) and assign(s) to Aurigin Systems, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention(s) known as An Intellectual Asset Protocol for Defining Data Exchange Rules and Formats for Universal Intellectual Asset Documents, and Systems, Methods, and Computer Program Products Related to Same for which application(s) for patent in the United States of America has (have) been executed by the undersigned on (1) 7/26/2000 (2) 7/26/2000 (3) 8/1/00, (4) 8/1/00 and (5) 8/1/00 (also known as United States Application No. 09/545,608, filed April 7, 2000, in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

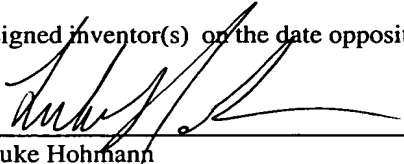
The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.


The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; Samuel L. Fox, Esquire, Registration No. 30,353; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W.

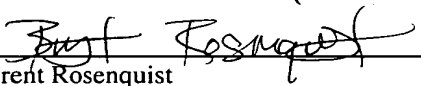
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IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: July 26, 2000 Signature of Inventor:  (1)
Luke Hohmann

Date: 7/26/2000 Signature of Inventor:  (2)
Irving S. Rappaport

Date: _____ Signature of Inventor: _____ (3)
Matthew Schnitz

Date: 7/31/2000 Signature of Inventor:  (4)
Brent Rosenquist

Date: 8/10/00 Signature of Inventor:  (5)
Adam Jackson

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): (1) Luke Hohmann, (2) Irving S. Rappaport, (3) Matthew Schnitz, (4) Brent Rosenquist and (5) Adam Jackson, the undersigned inventor(s) hereby sell(s) and assign(s) to Aurigin Systems, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention(s) known as An Intellectual Asset Protocol for Defining Data Exchange Rules and Formats for Universal Intellectual Asset Documents, and Systems, Methods, and Computer Program Products Related to Same for which application(s) for patent in the United States of America has (have) been executed by the undersigned on (1) 7/26/2000 (2) 7/26/2000 (3) _____, (4) _____ and (5) _____ (also known as United States Application No. 09/545,608, filed April 7, 2000, in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

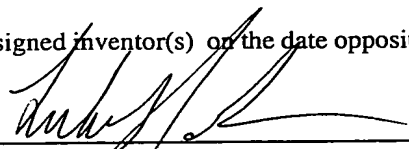
The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

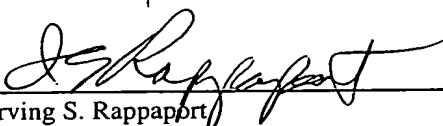
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Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; Raz E. Fleshner, Esquire, Registration No. 34,331; John M. Covert, Esquire, Registration No. 38,759; and Linda E. Alcorn, Esquire, Registration No. 39,588; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: July 26, 2000 Signature of Inventor:  (1)
Luke Hohmann

Date: 7/26/2000 Signature of Inventor:  (2)
Irving S. Rappaport

Date: 8/1/2000 Signature of Inventor:  (3)
Matthew Schnitz

Date: _____ Signature of Inventor: _____ (4)
Brent Rosenquist

Date: _____ Signature of Inventor: _____ (5)
Adam Jackson

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